

PENNIE & EDMONDS LLP DOCKET NO. 6925-312-999

Express Mail No. EV335857018US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

17302 US
10/673125
092603



Prior application:

Examiner Subramanian, Narayanswami
Art Unit 3624

Commissioner for Patents
P.O. Box 1450
Mail Stop PATENT APPLICATION
Alexandria, VA 22313-1450

Sir:

This is a request for filing a continuation divisional application under 37 CFR § 1.53(b), of pending prior application no. 09/617,646 filed on July 17, 2000 of Tull et. al.

(inventor(s) currently of record in prior application)
for DATA PROCESSING SYSTEM AND METHOD FOR ADMINISTERING FINANCIAL INSTRUMENTS
(title of invention)

1. The filing fee is calculated below:

PATENT APPLICATION FEE VALUE

TYPE	NO. FILED	LESS	EXTRA	EXTRA RATE	FEE
Total Claims	14	- 20	0	\$18.00 each	\$ 0.00
Independent	4	- 3	1	\$84.00 each	\$ 84.00
				Minimum Fee	\$ 750.00
				Multiple Dependency Fee If Applicable (\$280.00)	\$ 0.00
					\$ 834.00
					\$ 0.00
					\$ 834.00
				Total Filing Fee	

Applicant qualifies for the 50% Reduction for Independent Inventor, Nonprofit Organization or Small Business Concern

2. Please charge the required fee to Pennie & Edmonds LLP Deposit Account No. 16-1150. A copy of this sheet is enclosed.

3. Amend the specification by replacing the first paragraph starting on line 4 with the following: This is a continuation of application Ser. No. 09/617,646 filed on July 17, 2000, which is a continuation of application Ser. No. 09/313,155 filed on May 17, 1999, which is a continuation of application Ser. No. 09/071,437, filed on May 1, 1998, now U.S. Pat. No. 5,946,667, which is a continuation of application serial number 08/223,797, filed April 6, 1994, abandoned.

4a. New formal drawings are enclosed.

4b. Informal drawings are enclosed.

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5a. Priority of application Ser. No. 09/617,646 filed July 17, 2000 in The United States is claimed under 35 U.S.C. §120.

5b. The certified copy has been filed in prior application no. , filed .

6. The prior application is assigned of record to Morgan Stanley Dean Witter.

7a. A copy of the Power of Attorney filed in the prior application no. 09/617,646, filed July 17, 2000 is enclosed.

7b. A Power of Attorney is enclosed.

8. This application contains nucleic acid and/or amino acid sequences required to be disclosed in a Sequence Listing under 37 CFR §§1.821-1.825. It is requested that the Sequence Listing in computer readable form from prior application no., filed on be made a part of the present application as provided for by 37 C.F.R. §1.821(e). The sequences disclosed therein are the same as the sequences disclosed in this application. A copy of the paper Sequence Listing from application no. is enclosed.

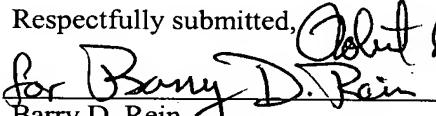
9. The undersigned states, under 37 C.F.R. §1.821(f), that the content of the enclosed paper Sequence Listing from application no. is the same as the content of the computer readable form submitted in application no. .

10. DO NOT PUBLISH. I hereby certify that the invention disclosed in the attached application has not and will not be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

11. Additional enclosures or instruction: Photocopy of Petition Under 37 C.F.R. § 1.47(a) with attachments in the application Ser. No. 08/223,797 filed April 6, 1994.

Date September 26, 2003

Respectfully submitted,


for Barry D. Rein

Reg. No. 45,755
22,411
(Reg. No.)

PENNIE & EDMONDS LLP
1155 Avenue of the Americas
New York, New York 10036-2711

Please type a plus (+) inside this box +

PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL <i>(Only for new nonprovisional applications under 37 CFR 1.53(b))</i>	Attorney Docket No.	6925-312-999	Total Pages	55
	<i>First Named Inventor or Application Identifier</i>			
	Robert Stanley Tull, Jr.			
	Express Mail Label No.	EV335857018US		

APPLICATION ELEMENTS <i>See MPEP chapters 600 concerning utility patent application contents.</i>	Address to:	Commissioner for Patents P.O. Box 1450 Mail Stop PATENT APPLICATION Alexandria, VA 22313-1450
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1. <input checked="" type="checkbox"/> Fee Transmittal Form <i>(Submit an original, and a duplicate for fee processing)</i>	7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
2. <input type="checkbox"/> Applicant claims Small Entity status, see 37 C.F.R. § 1.27	8. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission <i>(if applicable, all necessary)</i>
3. <input checked="" type="checkbox"/> Specification <i>(preferred arrangement set forth below, MPEP 1503.01)</i>	a. <input type="checkbox"/> Computer Readable Form (CRF)
- Descriptive title of the Invention	
- Cross Reference to Related Applications	
- Statement Regarding Fed sponsored R&D	
- Reference to Microfiche Appendix	
- Background of the Invention	
- Brief Summary of the Invention	
- Brief Description of the Drawings (if filed)	
- Detailed Description of the Invention (including drawings, if filed)	
- Claim(s)	
- Abstract of the Disclosure	
4. <input checked="" type="checkbox"/> Drawing(s) (35 USC 113)	[Total Sheets 7]
5. <input checked="" type="checkbox"/> Oath or Declaration	[Total Sheets 4]
a. <input type="checkbox"/> Newly executed (original or copy)	9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))
b. <input checked="" type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) <i>(for continuation/divisional with Box 18 completed)</i>	10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <i>(when there is an assignee)</i> <input type="checkbox"/> Power of Attorney
i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).	11. <input type="checkbox"/> English Translation Document (if applicable)
6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76	12. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations
13. <input type="checkbox"/> Preliminary Amendment	
14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <i>(Should be specifically itemized)</i>	
15. <input type="checkbox"/> Certified Copy of Priority Document(s) <i>(if foreign priority is claimed)</i>	
16. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(i). Applicant must attach form PTO/SB/35 or it's equivalent	
17. <input checked="" type="checkbox"/> Other: Photocopy of Petition Under 37 C.F.R. § 1.47(a) with attachments in the application Ser. No. 08/223,797 filed April 6, 1994.	

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation Divisional Continuation-in-part (CIP) | of prior application No.: 09/617,646 filed July 17, 2000.

Prior application information: Examiner: Subramanian, Narayanswamy Group Art Unit: 3624

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number	20583 <i>Insert Customer No.</i>	or <input type="checkbox"/> Correspondence address below
NAME		
ADDRESS		
CITY	STATE	ZIP CODE
COUNTRY	TELEPHONE	FAX